

FORM PTO-1390
(REV 11-2000)

DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

INVENTOR'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

MTS-3326US

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

10/089,998

INTERNATIONAL APPLICATION NO.
PCT/JP00/06926INTERNATIONAL FILING DATE
05.10.00 (5 Oct 2000)PRIORITY DATE CLAIMED
06.10.99 (6 Oct 1999)

TITLE OF INVENTION

LENS, OPTICAL HEAD, OPTICAL INFORMATION WRITING/READING APPARATUS AND OPTICAL
INFORMATION RECORDING MEDIUM WRITING/READING METHOD

APPLICANT(S) FOR DO/EO/US

Hideki Hayashi; Sadao Mizuno

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern documents(s) or information included:

11. ☐ An Information Disclosure Statement under 37 U.S.C. 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 – 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information: Certificate of Express Mail; 371 Formalities Letter (copy)

U.S. APPLICATION NO. (if known, see 37 CFR 1.010) 10/089,998	INTERNATIONAL APPLICATION NO. PCT/JP00/06926	ATTORNEY DOCKET NUMBER MTS-3326US
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2-1. ☐ The following fees are submitted:
BASIC NATIONAL FEE (37 CFR 1.492(a)(1) - (5)):
☐ Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO... .. \$1040.00
☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.... .. \$890.00
☐ International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00
☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00
☐ International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT = \$

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☒ 30 Months from the earliest claimed priority date (37 CFR 1.492(e)). \$ 130.00

CLAIMS	NUMBER FILED	EXTRA NUMBER	RATE	
Total claims	- 20 =		X \$	\$
Independent claims	- 3 =		X \$	\$
MULTIPLE DEPENDENT CLAIM(S) (if applicable) <input type="checkbox"/>			+ \$	\$
TOTAL OF ABOVE CALCULATIONS =				\$ 130.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$
SUBTOTAL =				\$ 130.00
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 Months from the earliest claimed priority date (37 CFR 1.492(f)).				\$
TOTAL NATIONAL FEE =				\$ 130.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$ 40.00
TOTAL FEES ENCLOSED =				\$ 170.00

P/2002 SNAJARRU 00000113 10089998
 C:154 130.00 DP

Amount to be refunded:	\$
Charged:	\$

CALCULATIONS PTO USE ONLY

a. ☒ Two checks totaling the amount of \$170.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 18-0350. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

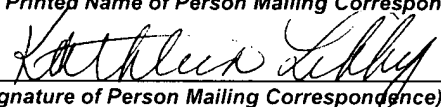
SEND ALL CORRESPONDENCE TO:
 Allan Ratner
 Ratner & Prestia
 P.O. Box 980
 Valley Forge, PA 19482
 (610) 407-0700
 (610) 407-0701

SIGNATURE _____

 Allan Ratner
 NAME

19.717
 REGISTRATION NUMBER

July 30, 2002
 DATE

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10) Applicant(s): H. Hayashi et al.			Docket No. MTS-3326US
Serial No. 10/089,998	Filing Date Herewith	Examiner	Group Art Unit
Invention: LENS, OPTICAL HEAD, OPTICAL INFORMATION WRITING/READING APPARATUS AND OPTICAL INFORMATION RECORDING MEDIUM WRITING/READING METHOD			
I hereby certify that the following correspondence: <div style="border: 1px solid black; padding: 10px; min-height: 100px;">Form PTO-1390 (in duplicate) and its related enclosures</div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on July 30, 2002</p> <div style="text-align: right;"><u>Kathleen Libby</u> <i>(Typed or Printed Name of Person Mailing Correspondence)</i>  <i>(Signature of Person Mailing Correspondence)</i> <u>EV115251056US</u> <i>("Express Mail" Mailing Label Number)</i></div>			
Note: Each paper must have its own certificate of mailing.			